

Justification:
Instruction

(Operational)

Private Owner Circular Letter 64I Issue I

Title

Deviations against
POCLs

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AUTHORISATION

Authorised by:



J. Collinson, Head of Traction and Rolling Stock Engineering

1. INTRODUCTION

POCL 641, Issue I has been produced to allow formal requests for deviations against POCLs to be raised and where appropriate approved. The instruction details the process for requesting a deviation and also explains what is required at each stage and how it will be controlled if approved.

2. INSTRUCTION

2.1 Type of deviation

When considering making an application it should be noted that deviations fall into one or other of the following two types:

a). **Temporary Non-Compliance**

Appropriate for particular circumstances where, for a pre-determined period, it is not reasonable to comply with a POCL (such a situation may, for example, arise because more time is required to comply or an Owner wishes to trial a new way of working).

b). **Derogation**

Appropriate for particular circumstances where, on a permanent basis, it is not reasonable to comply with a POCL.

2.2 Deviation process

The process whereby a deviation against a POCL is raised with the PWRA Management Group and the stages involved are shown in the flow chart attached as Appendix A and detailed in Clauses 2.3 to 2.6.

2.3 Initial approach

In the first instance a person applying for the deviation should contact the PWRA Management Group in order for a Deviation Number to be generated. At the same time the Senior PWRA Engineer will be able to give some guidance to the Applicant on the way to proceed.

2.4 Application for a Deviation

With the Deviation Number identified the Applicant shall complete the form shown in Appendix B i.e. 'Application for a Temporary Non-Compliance or Derogation from a Private Owner Circular Letter (POCL)'.

Along with the completed form the Applicant shall provide a covering letter and all the relevant supporting information to the Senior PWRA Engineer. If the deviation (albeit against a POCL clause) actually requires changes to a National Standard e.g. a Railway Group Standard, it shall be deemed to be outside of the scope of a 'deviation against a POCL' and shall be returned to the Applicant who will be advised of this decision.

Deviation requests against National Standards may be facilitated by the PWRA Management Group, (with the Applicant supplying the required input and background information), but this shall be by prior agreement only.

2.5 Technical Review meeting

Provided that the Senior PWRA Engineer is satisfied that the application is in order he will put it on the agenda for the next Technical Review meeting and notify the Applicant accordingly. These meetings shall be chaired by the Senior PWRA Engineer, held on a regular basis and formally minuted.

It shall be the responsibility of the Applicant to ensure that appropriate representation is present at the meeting. This may include such parties as:

- Owner.
- Maintainer/Repairer.
- Manufacturer.
- Technical Consultant
- Railway Undertaking(s).

2.6 Outcome of the Technical Review meeting

There will be three possible outcomes from the Technical Review meeting as follows:

a). The application is successful.

The successful application will be minuted at the meeting and Senior PWRA Engineer will recommend approval to the Head of Traction & Rolling Stock Engineering, who will issue a Certificate (detailing the conditions) to the Applicant.

b). More information is required in order to fully appraise the application.

Where this additional information is not made available at the meeting it shall be minuted. Upon receipt of the additional information from the Applicant the Senior PWRA Engineer will again put the application on the agenda for the next Technical Review meeting.

c). The application is turned down.

The reason(s) why the application has been turned down will be minuted at the meeting and the Applicant formally advised in a letter from the Senior PWRA Engineer.

3. SCOPE

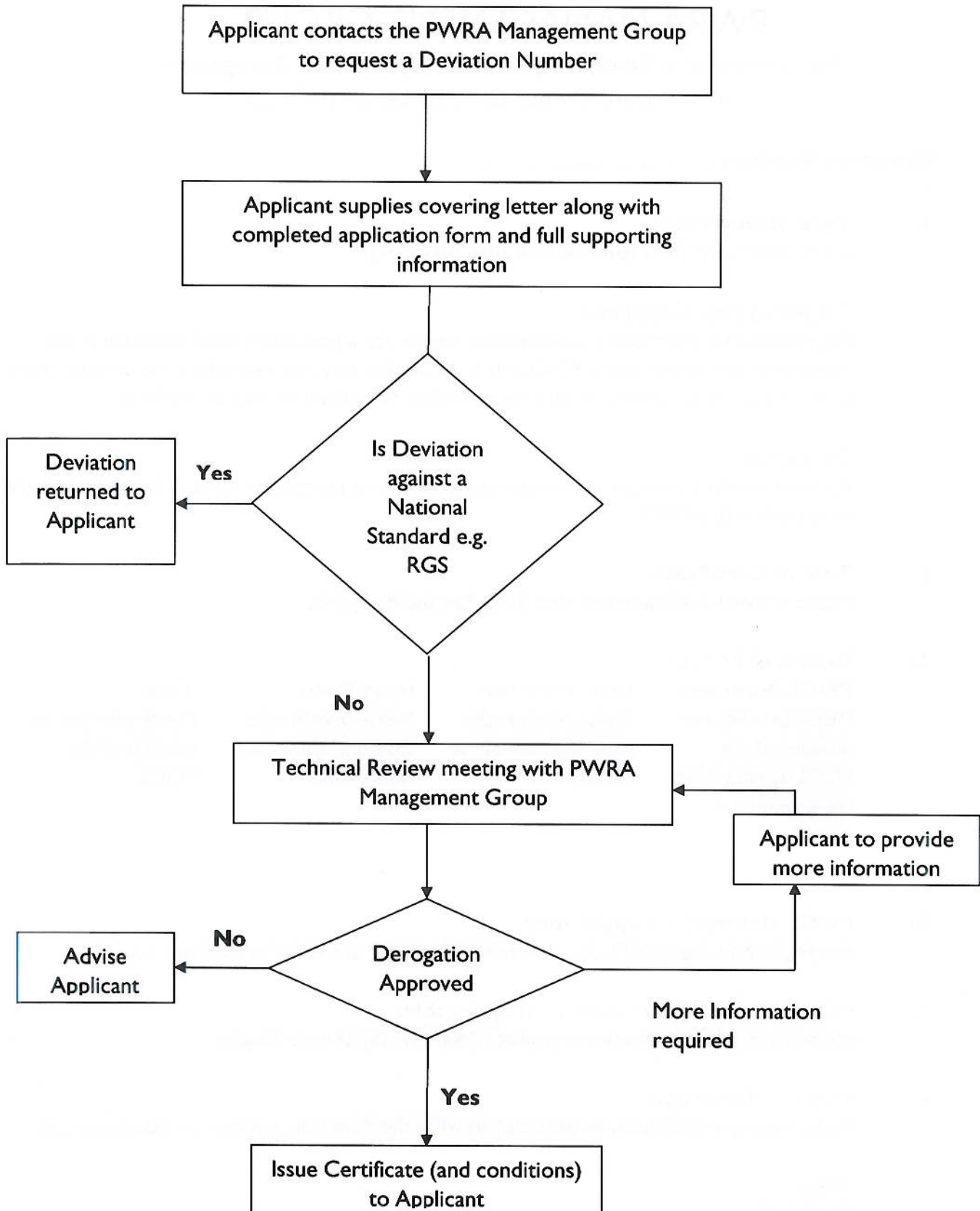
This POCL applies to all PWRA Owners.

4. IMPLEMENTATION

This document shall be implemented immediately.

In the event of any query arising, or clarification required, please contact:

Senior PWRA Engineer
PWRA Management Group
Room 207 Derwent House
rtc Business Park
London Road
Derby
DE24 8UP

APPENDIX A - Application for POCL Deviation Flow Chart

APPENDIX B - Application form for a Deviation against a POCL

PWRA MANAGEMENT GROUPApplication for a Temporary Non-Compliance or Derogation
from a Private Owner Circular Letter (POCL)

Deviation Number:

1. Type of Deviation:Is this application for a (please tick one box only):☐**Temporary Non-Compliance**

Appropriate for particular circumstances where, for a pre-determined period, it is not reasonable to comply with a POCL (such a situation may, for example, arise because more time is required to comply or an Owner wishes to trial a new way of working).

☐**Derogation**

Appropriate for particular circumstances where, on a permanent basis, it is not reasonable to comply with a POCL.

2. Title of Certificate

Please provide a one line title that describes the deviation.

3a. Details of POCL:**POCL Number:**

Please provide the number of the POCL against which the deviation is sought.

Issue Number:

Please provide the issue number of the POCL.

Issue Date:

Please provide the date that the POCL was issued.

Title:

Please provide the full title of the POCL.

3b. POCL clause(s) – If applicable:

Please provide the specific clause number(s) against which the deviation is sought.

3c. POCL clause requirements – If applicable:

Please quote the requirements against which the deviation is sought.

4. Scope of Deviation:

Please state (as specifically as possible) to what the deviation applies. Include details of:

Owner

Wagon type

Wagon numbers

Specific component(s)

Frequency of inspection/maintenance

5. Impacts with complying with the current POCL:

Why can you not comply with the POCL? This should explain the impacts (safety, cost and service performance) of complying with the POCL requirement.

It should allow the PWRA Management group to understand why these impacts make it unreasonable to comply with the POCL requirement, either temporarily (in the case of a Temporary Non-Compliance) or in a particular circumstance (for a Derogation).

6. Proposed alternative actions:

What are you proposing to do instead of complying with the POCL? This section should describe the alternative actions to be taken in place of the requirements of the POCL.

7. Impacts of the alternative actions:

What is the impact of the proposed alternative actions on your Company and any affected parties?

This section should explain the predicted impacts of implementing the alternative actions (taken in place of the POCL requirements) on:

a). Safety, cost and service performance of the Company seeking the deviation from the POCL. The degree of assessment should be proportionate to the level of risk being controlled by the alternative actions that are the subject of the deviation. Where failure of the alternative actions could lead to a significant increase in risk, a proportionate quantified risk assessment should accompany the application.

b). The activities of the affected parties.

This explanation should include any appropriate supporting documents such as:

a). Company procedures, processes and instructions.

b). Drawings, illustrations and diagrams.

c). Evidence from inspections, measurements, trials and tests.

d). Results of safety performance monitoring.

e). Recommendations from Manufacturers.

f). Reports, certificates or endorsements from Technical Consultancies.

This section should allow the PWRA Management group to understand why the alternative actions are reasonable.

8. What other options have been considered?

Please state here other options that have been considered and provide an outline of the reasons for their exclusion.

9. Consultation with affected parties.

Please provide all of the results of your consultation with affected parties.

10. Additional actions/observations:

- Please provide any additional information you have to support your application.
11. **Method of elimination (if applicable):**
Please state how your Company plans to become compliant with the POCL.
12. **Start and end date (if applicable):**
Please specify the dates you wish your Temporary Non-Compliance certificate to start and finish. This will also define the period of time within which you will have become compliant with the POCL.
The maximum period of time for which a Temporary Non-Compliance may be issued is 12 months.
13. **Details of Applicant:**
Please provide the following details.
Name:
Position (Job Title):
Company:
Full Postal Address:
Tel. Number:
Mob. Number:
Fax. Number:
e-mail:
14. **Your reference number:**
Please provide your Company's reference number for this application, if applicable.
15. **Status of Applicant**
Please indicate if you are applying:
a). As an Owner.
b). On behalf of an Owner (provide their details and attach evidence of their support for this application).
c). On behalf of several Owners (provide their details and attach evidence of their combined support for this application).
16. **Signature of applicant:** **Date of Application:**
17. **POCL Committee details**

Name of Committee:	Date of Meeting:	Minute Reference:
PWRA to complete	PWRA to complete	PWRA to complete

Authorised by:	Date of Authorisation:
PWRA to complete	PWRA to complete